

FORM PTO-1449

## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

(use as many sheets as necessary)

Attorney Docket Number

41543/RRT/S850

Application Number

09/905,329

Filing Date

July 13, 2001

Applicant(s)

Jonathan D. Goodwin, et al.

Group Art Unit

2161

Examiner Name

To Be Determined

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JS	5,684,951	11/1997	Goldman, et al.	395	188.01	
JS	5,825,893	10/1998	Kara	380	51	

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EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
JS	EP 0 854 448	07/1998	European Patent Office				
JS	WO 94/27258	11/1994	WIPO				
JS	WO 98/57302	12/1998	WIPO				

## OTHER DOCUMENTS

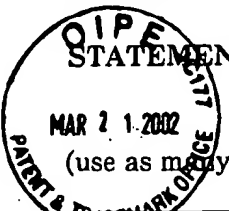
EXAMINER INITIALS	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

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<b>FORM PTO/SB/08A/B (10-01)</b> Substitute for PTO-1449A/B  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Attorney Docket Number</b>	41543/RRT/S850
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	<b>Group Art Unit</b>	2161
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U.S. PATENT DOCUMENTS				
EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - kind code <sup>2</sup> - (If known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
JES		US4,831,555B1	05-16-1989	Sansone et al.
		US4,900,903B1	02-13-1990	Wright et al.
		US4,900,904B1	02-13-1990	Wright et al.
		US4,908,770B1	03-13-1990	Breault et al.
		US5,048,085B1	10-10-1991	Abraham et al.
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JES		US5,454,038B1	09-26-1995	Cordery et al.

FOREIGN PATENT DOCUMENTS				
EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document

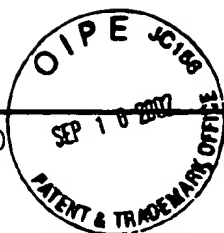
OTHER DOCUMENTS		
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LD		5,319,562	06-07-1994	Whitehouse
LD		5,768,132	06-16-1998	Cordery et al.

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IR		6,233,565 B1	05-15-2001	LEWIS, et al.
IR		6,424,954 B1	07-23-2002	LEON
IR		2001/0034716 A1	10-25-2001	GOODWIN

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IR		The United States Postal Service (USPS) Engineering Center; INFORMATION BASED INDICIA PROGRAM (IBIP) INDICIUM SPECIFICATION; June 13, 1996; 22pp.
IR		The United States Postal Service (USPS); INFORMATION-BASED INDICIA PROGRAM (IBIP): PERFORMANCE CRITERIA FOR INFORMATION-BASED INDICIA AND SECURITY ARCHITECTURE FOR CLOSED IBI POSTAGE METERING SYSTEMS (PCIBI-C); January 12, 1999; 49pp.
IR		The United States Postal Service (USPS); INFORMATION-BASED INDICIA PROGRAM (IBIP); PERFORMANCE CRITERIA FOR INFORMATION-BASED INDICIA AND SECURITY ARCHITECTURE FOR OPEN IBI POSTAGE EVIDENCING SYSTEMS (PCIBI-O); June 25, 1999; 76pp.
IR		U.S. Application Serial No. 09/585,025 filed June 1, 2000, "Online Value Bearing Item Printing", 125pp.
IR		U.S. Application Serial No. 09/688,451 filed October 16, 2000, "Auditing Method and System for an On-Line Value-Bearing Item Printing System, 105pp.
IR		U.S. Application Serial No. 09/688,452 filed October 16, 2000, "Role Assignments in a Cryptographic Module for Secure Processing of Value-Bearing Items", 105pp.

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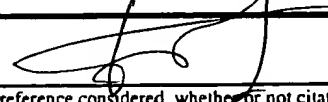
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DR		U.S. Application Serial No. 09/690,066 filed October 16, 2000, "Cryptographic Module for Secure Processing of Value-Bearing Items", 121pp.
DR		U.S. Application Serial No. 09/690,083 filed October 16, 2000, "Cryptographic Module for Secure Processing of Value-Bearing Items", 109pp.
DR		U.S. Application Serial No. 09/690,243 filed October 17, 2000, "Method and Apparatus for On-Line Value-Bearing Item System", 66pp.
DR		U.S. Application Serial No. 09/690,796 filed October 17, 2000, "Secure and Recoverable Database for On-Line Value-Bearing Item System", 71pp.
DR		U.S. Application Serial No. 09/692,746 filed October 18, 2000, "Method and Apparatus for Digitally Signing an Advertisement Area Next to a Value-Bearing Item", 61pp.
DR		U.S. Application Serial No. 09/692,829 filed October 18, 2000, "Postal System Intranet and Commerce Processing for On-Line Value-Bearing System", 179pp.
DR		U.S. Application Serial No. 09/788,069 filed February 16, 2001, "On-Line Value-Bearing Indiciu Printing Using DSA", 43pp.
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U.S. PATENT DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
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FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

Attorney Docket Number

41543/SAH/S850

Application Number

09/905,329

Filing Date

July 13, 2001

Applicant(s)

Jonathan David Goodwin, et al.

Group Art Unit

2161

Examiner Name

Not assigned yet

INFORMATION DISCLOSURE

STATEMENT BY APPLICANT

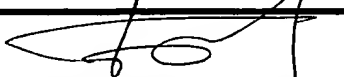
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### FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
JP		EP 0 604 148 A3	06-29-1994	Herbert	
		EP 0 647 925 A2	04-12-1995	Pintsov, et al.	
		EP 0 840 258 A2	05-06-1998	Ryan	
		EP 0 892 367 A2	01-20-1999	Bass, et al.	
		EP 0 927 958 A2	07-07-1999	Pierce, et al.	
		EP 0 927 963 A2	07-07-1999	Ryan, Jr.	
		EP 0 948 158 A2	10-06-1999	Baum	
		GB 2318486 A	04-22-1998	Holloway	
		WO 98/13790 A1	04-02-1998	Brookner, et al.	
		WO 98/57460 A1	12-17-1998	Cordery, et al.	
		WO 99/18514 A1	04-15-1999	Costigan, et al.	
		WO 00/19382 A1	04-06-2000	Ananda	
		WO 00/70503 A1	11-23-2000	Brookner	
JP		WO 01/50227 A2	07-12-2001	Mattern, et al.	

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EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
JP		PASTOR, Jose; CRYPTOPOST™ - A Cryptographic Application to Mail Processing; Journal of Cryptology; 1991; 137-146 pp.; Vol. 3; Number 2; International Association for Cryptologic Research
JP		TYGAR, J.D. and YEE, Bennet; Cryptography: It's Not Just for <i>Electronic</i> Mail Anymore; School of Computer Science; March 1, 1993; 1-21 pp.; Carnegie Mellon University, Pittsburg, PA, USA

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IR		TYGAR, J.D. and YEE, Bennet; Dyad: A System for Using Physically Secure Coprocessors; School of Computer Science; May 4, 1991; 1-36 pp.; Carnegie Mellon University, Pittsburg, PA, USA
DR		United States Postal Service, "Information Based Indicia Program Postal Security Device Specification" June 13, 1996 (21 sheets)

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Sheet 6 of 6

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IR		5,680,629	10-21-1997	Slayden et al.
IR		US 6,353,926 B1	03-05-2002	Parthesarathy et al.

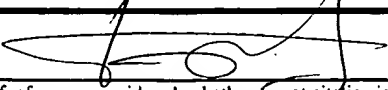
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IR		RATCLIFFE, Mitch, "Ever feel you're being watched? You will."; <i>Digital Media</i> ; May 16, 1994; v3, n12, 3pgs.

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Sheet 1 of 1

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Applicant(s)	Jonathan D. Goodwin, et al.
Group Art Unit	2161
Examiner Name	To be assigned

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JB		5,621,797	04-15-1997	Rosen

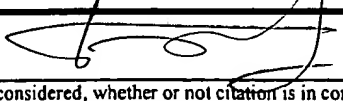
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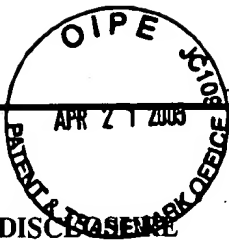
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Attorney Docket Number	41543/SAH/S850
Application Number	09/905,329
Filing Date	July 13, 2001
Applicant(s)	Jonathan D. Goodwin, et al.
Group Art Unit	3629
Examiner Name	John Weiss

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
RR		6,081,810	06-27-2000	Rosenzweig et al.
RR		6,151,591	11-21-2000	Pierce et al.
SB		6,226,752 B1	05-01-2001	Gupta et al.

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OTHER DOCUMENTS

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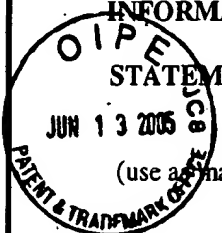
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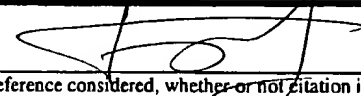
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FORM PTO/SB/08A/B (10-01) Substitute for PTO-1449A/B <div style="text-align: center;"> <b>INFORMATION DISCLOSURE</b>  <b>STATEMENT BY APPLICANT</b>            (use as many sheets as necessary)       </div>	<b>Attorney Docket Number</b>	<b>41543/SAH/S850</b>
	<b>Application Number</b>	<b>09/905,329</b>
	<b>Filing Date</b>	<b>July 13, 2001</b>
	<b>Applicant(s)</b>	<b>Jonathan D. Goodwin, et al.</b>
	<b>Group Art Unit</b>	<b>3629</b>
	<b>Examiner Name</b>	<b>John Weiss</b>

U.S. PATENT DOCUMENTS				
EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
IR		5,384,886	01-24-1995	Rourke
JD		6,098,058	08-01-2000	Gravell et al.
JB		US 2003/0078893 A1	04-24-2003	Shah et al.

FOREIGN PATENT DOCUMENTS					
EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)

OTHER DOCUMENTS		
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Attorney Docket Number	41543/SAH/S850
Application Number	09/905,329
Filing Date	July 13, 2001
Applicant(s)	Jonathan D. Goodwin, et al.
Group Art Unit	3639
Examiner Name	Richard Sukyoon Woo

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
JR		6,546,377 B1	04-08-2003	Gravell et al.
DR		2005/0114712 A1	05-26-2005	Devine et al.

**FOREIGN PATENT DOCUMENTS**

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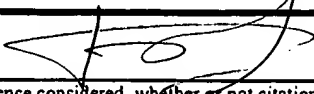
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	<b>Group Art Unit</b>	<b>3639</b>
	<b>Examiner Name</b>	<b>Jon M. Bass</b>

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DR		5,265,221	11-23-1993	Miller
DR		6,009,417	12-28-1999	Brookner et al.
DR		6,049,671	04-11-2000	Slivka et al.
DR		6,473,743 B1	10-29-2002	Ryan, Jr.

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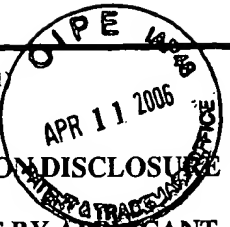
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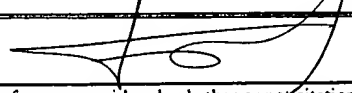
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		Group Art Unit	3639
		Examiner Name	Jon M. Bass

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DR		6,587,880 B1	07-01-2003	Saigo et al.
DR		6,957,196 B1	10-18-2005	Cordery et al.

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		FICKEL, Louise, "Know Your Customer," Leaders for the Next Millennium, CIO Magazine, 08/15/1999, 10pp.
		SAGNER, James S., "Protecting Organizations from Electronic-Transaction Fraud", Healthcare Financial Management, Westchester, Feb. 1995

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